



Thomas Jefferson National Accelerator Facility  
*Exploring the Nature of Matter*

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December 21, 2007

Mr. James A. Turi, Manager  
Thomas Jefferson Site Office  
12000 Jefferson Avenue, Suite 14  
Newport News, Virginia 23606

Subject: Corrective Action Plan in Response to the DOE Review of TJNAF's  
Contractor Assurance System

Dear Mr. Turi,

In response to Scott Mallette's letter dated November 21, 2007, enclosed please find a corrective action plan for the recent DOE review of TJNAF's Contractor Assurance System.

Each corrective action is being entered into the Automated Quality Information System - Corrective Action Tracking System (AQIS-CATS) with responsibilities and due dates as shown in the plan. The CATS event identification number is IA-2007-59.

If you have any questions regarding the attachment, please contact Bruce Lenzer at [blenzer@jlab.org](mailto:blenzer@jlab.org) or (757) 269-7586.

Sincerely,

A handwritten signature in black ink, appearing to read "Christoph Leemann".

Christoph Leemann  
JSA President and Laboratory Director

Attachments:

cc:

Tony Thomas, JSA LLC JLab  
Craig Ferguson, JSA LLC JLab ✓  
Mike Dallas, JSA LLC JLab  
Bruce Lenzer, JSA LLC JLab  
Bob Doane, JSA LLC JLab

**Corrective Action Plan for**  
**DOE Review of the TJNAF's Contractor Assurance System**

All Actions in CATS Record IA-2007-59

**Findings:**

1. **CAS.2.3.FIND.1** Issues from management assessments are not consistently entered in the Corrective Action Tracking System (CATS) and tracked to closure.

Action: Modify IA and MSA procedures to require that the lead assessment specialist verifies that all issues for IAs and MSAs are in CATS and report verification to the QA/CI Manager.

Responsible Person: Bob Doane

Target Date: 1/15/08

2. **CAS.2.3.FIND.2** CATS and the INSIGHT management dashboard tools indicate that of the 144 open corrective actions in CATS, a significant number (19 percent) are overdue.

Action: Ensure closure of all CATS issues that are past due on December 31, 2007. If closure is not possible, request extension of due date and develop plans for meeting those new dates.

Responsible Person: Bill Rainey

Target Date: 1/31/08

Action: Research and benchmark overdue corrective action overdue data from other DOE labs to develop appropriate JLab goals. Goals may be different for different significance levels.

Responsible Person: Bruce Lenzer

Target Date: 1/10/08

Action: Propose goals for overdue CATS actions to DSC and develop consensus.

Responsible Person: Bob May

Target Date: 1/15/08

Action: Communicate goal to senior management.

Responsible Person: Mike Dallas

Target Date: 2/29/08

Action: Use Insight dashboard or other approach to highlight overdue CATS action rate compared to goals. Breakdown by division should be available.

Responsible Person: Bob Doane

Target Date: 2/29/08

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Action: With the help of IT develop an “alert” system for past due and nearly due CATS issues beyond the CATS notifications currently used. (E.g. Insight notification of actions due).

Responsible Person: Bob Doane

Target Date: 2/29/08

Action: Begin weekly review of progress towards overdue CATS action goal at Weekly Priorities Meetings. Initial focus should be on issues with significance level of 2 or greater; review should break out overdue issues by division.

Responsible Person: Bob May

Target Date: 1/14/08

3. **CAS.3.2.FIND.3** A structured/formal process for conducting the quarterly trend analysis of events, accidents, and injuries has not been documented.

Action: Benchmark other DOE labs’ structured processes for event trend analysis.

Responsible Person: Carter Ficklen

Target Date: 1/31/08

Action: Develop policy and/or procedures to document the lab’s structured/formal process for conducting the quarterly trend analysis of events, accidents, and injuries. Policy and/or procedures should include how performance data are used effectively to determine performance relative to goals, identify improvement opportunities, identify good practices, share lessons learned, and determine effective allocation of resources and to establish oversight priorities.

Responsible Person: Carter Ficklen

Target Date: 2/28/08

4. **CAS.3.4.FIND.4** Processes for job hazard walk-downs, pre- and post-job briefings, and toolbox meetings have not been documented.

Action: Document processes for job hazard walk-downs, pre- and post-job briefings, and toolbox meetings. Incorporate information into Work Controls & Processes Procedure.

Responsible Person: Bruce Lenzer

Target Date: 3/31/08

5. **CAS.3.5.FIND.5** How JLab makes effective use of data to determine performance relative to goals, suggest further improvements, identify good practices and lessons learned, allocate resources, and establish oversight priorities is not documented.

Action: Addressed by second action for CAS.3.2.FIND.3.

Responsible Person: N/A

Target Date: N/A

6. **CAS.5.3.FIND.6** Qualification standards have not been established to assure staff, who perform CAS functions, obtain training and maintain the requisite skills to effectively perform their assigned functions.

Action: Document qualifications of current QA/CI performing CAS functions.

Responsible Person: Bruce Lenzer

Target Date: 1/31/08

Action: Establish and document qualification standards for QA/CI staff performing CAS functions to ensure they obtain training and maintain the requisite skills to effectively perform their assigned functions. Developing a training matrix would be one way to document this information.

Responsible Person: Bruce Lenzer

Target Date: 3/31/08

Action: Coordinate QA/CI training and ITP maintenance with Training Department.

Responsible Person: Bruce Lenzer

Target Date: 5/31/08

### **Observations:**

7. **CAS.4.1.OBS.7** Jefferson Science Associates, LLC, (JSA) could not demonstrate a spreadsheet or database that ensures mandatory contractor assessments (those required by regulations and Department of Energy directives) occur at the required frequency and that all facilities, systems, and organizational elements, including subcontractors, are periodically assessed.

Action: Identify assessments mandated by regulations and DOE directives in contract.

Responsible Person: Bob Doane

Target Date: 3/31/08

Action: Create Assessment Topic Spreadsheet (ATS) to include mandated assessments and other appropriate topics/areas.

Responsible Person: Bob Doane

Target Date: 3/31/08

Action: Modify Integrated Assessment Schedule Procedure to require use of ATS to ensure that required assessments occur at the required frequency and that all

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facilities, systems, and organizational elements including subcontractors are periodically assessed. Also require that the ATS be updated annually.

Responsible Person: Bob Doane

Target Date: 3/31/08